

Survey response for Estonia

OECD database of governance of public research policy

This document contains detailed responses for Estonia to the survey on governance of public research policy across the OECD. It provides additional background information to the OECD database of governance of public research policy as described in Borowiecki, M. and C. Paunov (2018), "How is research policy across the OECD organised? Insights from a new policy database", *OECD Science, Technology and Industry Policy Papers*, No. 55, OECD Publishing, Paris, <https://doi.org/10.1787/235c9806-en>. The data was compiled by the OECD Working Party on Innovation and Technology Policy (TIP). Data quality was validated by delegates to OECD TIP Working Party the in the period between March 2017 and May 2018. Additional references that were used to fill out the questionnaire are indicated.

The data is made freely available online for download at <https://stip.oecd.org/resgov>.

Contact:

Caroline Paunov, Senior Economist, E-mail: Caroline.Paunov@oecd.org;

Martin Borowiecki, Junior Economist, E-mail: Martin.Borowiecki@oecd.org.

Abbreviations and acronyms

ERC	Estonian Research Council
ICT	Information and communication technology
HEIs	Higher Education Institutions
MoER	Ministry of Education and Research
ORDA	Organisation of Research and Development Act
PRIs	Public Research Institutes
RDI	Research, Development and Innovation
STI	Science, Technology and Innovation
UTL	University of Tartu Library

Survey of public research policy

Topic 1: Institutions in charge of priority setting, funding and evaluations

Table 1. Questions on institutions in charge of priority setting, funding and evaluations of universities and PRIs

Question	Response
<p>Q.1.1. Who mainly decides on the scientific, sectoral and/or thematic priorities of budget allocations for a) HEIs and b) PRIs?</p> <p>c) Which are the main mechanisms in place to decide on scientific, sectoral and/or thematic priorities of national importance, e.g. digital transition, sustainability? Please describe who is involved and who decides on the priorities (e.g., government, research and innovation councils, sector-specific platforms including industry and science, etc.).</p> <p><i>(This question does not refer to who sets overall science, technology and industry priorities. This is usually done by parliaments and government. The question refers to decisions taken after budgets to different ministries/agencies have been approved. Scientific priorities refer to scientific disciplines, e.g. biotechnology; sectoral priorities refer to industries, e.g. pharmaceuticals; and thematic priorities refer to broader social themes, e.g. digital transition, sustainability, etc.)</i></p> <p>d) From 2005-16, were any significant changes introduced as to how decisions on scientific, sectoral and/or thematic orientation of major programmes are taken (e.g. establishment of agencies that decide on content of programmes)?</p> <p>References: Ministry of Education and Research (2016), "Research and Development", www.hm.ee/en/activities/research-and-development (accessed on 23 October 2016). Organisation of Research and Development Act, article 13, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016). OECD (2014), Science, Technology and Innovation Outlook Database 2014, answer A1 for Estonia.</p>	<p>a and b) The Ministry of Education and Research (MoER) sets scientific, sectoral and thematic priorities for public R&D funding. MoER prepared the national Science, Technology and Innovation (STI) strategy for Estonia which defines thematic priorities for the country. The strategy is subject to the approval of the Government of Estonia. The Estonian Research Council (ERC) is the main funding agency and allocates funding according to the broad priorities set out in the national STI strategy.</p> <p>c) Missing answer.</p> <p>d) The "Entrepreneurship Growth Strategy 2014-2020" was formulated in 2013. The Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia" was formulated in 2014.</p>

Q.1.2. Who allocates **institutional block funding** to a) HEIs and b) PRIs?

(Institutional block funds (or to general university funds) support institutions and are usually transferred directly from the government budget.)

Who allocates **project-based funding** of research and/or innovation for c) HEIs and PRIs?

(Project-based funding provides support for research and innovation activities on the basis of competitive bids.)

d) Is there a transnational body that provides funding to HEIs and PRIs (e.g. the European Research Council)? e) What is the importance of such funding relative to national funding support?

f) From 2005-16, were any changes made to way programmes are developed and funding is allocated to HEIs and PRIs (e.g. merger of agencies, devolution of programme management from ministries to agencies)?

a) The MoER allocates institutional block funding for Higher Education Institutions (HEIs) and Public Research Institutes (PRIs).

c) The Estonian Research Council (ERC) develops programmes and allocates funds for project-based funding. The ERC awards both types of project-based funding in Estonia (called "institutional funding" and "personal funding") as well as support for participation in EU programmes.

d) European Commission (Horizon2020), European Research Council

e) Missing answer.

f) From 2005-2016, the following change were made: The ERC was created in 2012.;it consolidates the functions of previous agencies into one stop-shop for researchers, research institutions and firms. The establishment of a single funding agency was an effort to clarify responsibilities, reduces fragmentation of the research funding system and simplifies the process of grant application.

References:

Estonian Research Council (2016), "Research funding", www.etag.ee/en/funding/research-funding/ (accessed on 24 October 2016).

OECD (2014), Science, Technology and Innovation Outlook Database 2014, answer A2-2-5-1for Estonia.

Organisation of Research and Development Act (2015), Article 15, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016)

Q.1.3. Do **performance contracts** determine funding of a) HEIs?

Institutional block funds can be partly or wholly distributed based on performance. (Performance contracts define goals agreed between ministry/agency and HEIs/PRIs and link it to future block funding of HEIs and PRIs.)

b) What is the share of HEI budget subject to performance contract?

c) Do performance contracts include quantitative indicators for monitoring and evaluation?

d) What are the main indicators used in performance contracts? Which, if any, performance aside from research and education is set out in performance contracts?

e) Do HEIs participate in the formulation of main priorities and criteria used in performance contracts?

f) Do the same priorities and criteria set in performance contracts apply to all HEIs?

g) Are any other mechanisms in place to allocate funding to HEIs and PRIs?

h) From 2005-16, were any changes made to funding of HEIs and PRIs?

(In case performance contracts are in place that bind funding of PRIs, please provide information about them.)

a) Yes. HEIs and PRIs are subject to performance contracts. Universities must enter a three year contract with the MoER. The contract sets out the mission, objectives and functions of the university. Only research and development institutions having received a "regular positive evaluation" are eligible for funding.

b) Missing answer.

c and d) Yes, performance contracts include indicators for evaluation and performance monitoring. The main indicators are:

- the number of high level publications in internationally recognised journals, the number of high level research monographs and the number of registered patents and patent applications;
- the amount of R&D funding from other References;
- the number of doctoral graduates.

e - g) Missing answer.

h) No major reforms made.

References:

Ministry of Education and Research (2016), "Research and Development", www.hm.ee/en/activities/research-and-development (accessed on 23 October 2016)

Ministry of Education and Research (2014), "Estonian Research and Development and Innovation Strategy 2014-2020", p.15, www.hm.ee/sites/default/files/estonian_rdi_strategy_2014-2020.pdf (accessed on 18 October 2016).

Organisation of Research and Development Act, article 15, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016)

Universities Act, article 50, www.riigiteataja.ee/en/eli/521032014002/consolide/current (accessed on 23 October 2016).

Q.1.4. Who decides on the following key **evaluation** criteria of HEIs and PRIs?

a) The MoER defines to be used criteria for evaluations of HEIs and PRIs.

Who is responsible for setting criteria to use when evaluating performance of a) HEIs? Who is responsible for b) evaluating and c) monitoring HEIs' performance?

b and c) Foreign experts conduct evaluations of departments within HEIs and PRIs. Regular evaluations of fields within research and development institutions (HEIs and PRIs) are carried out by committees of 3 to 16 foreign experts in the fields. The MoER forms the committee and establishes the conditions and procedure for the evaluations.

Who is responsible for setting criteria to use when evaluating performance of d) PRIs? Who is responsible for e) evaluating and f) monitoring PRIs' performance?

Block funding of HEIs for research and development institutions is conditional on a positive regular evaluation. A positive evaluation is valid for seven years or until approval for the next evaluation. Evaluations are carried out upon application by the institution. Fees associated with the evaluations are covered by the MoER unless the last evaluation was negative.

g) From 2005-16, was any institution created for evaluating HEIs and PRIs or were any changes made to criteria applied for evaluations of HEIs and PRIs?

d – f) No major reforms made.

References:

Organisation of Research and Development Act (2015), Article 20, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016).

Q.1.5. Which **recent reforms** to institutions that are in charge of priority setting, budget allocations, and evaluations of HEIs and PRIs were particularly important?

No major reforms made.

Topic 2: Policy co-ordination mechanisms

Table 2. Questions on research and innovation councils

Question	Response
<p>Q.2.1. a) Is there a Research and Innovation Council, i.e. non-temporary public body that takes decisions concerning HEI and PRI policy, and that has explicit mandates by law or in its statutes to either?</p> <ul style="list-style-type: none"> – provide policy advice (i.e. produce reports); – and/or oversee policy evaluation; – and/or coordinate policy areas relevant to public research (e.g. across ministries and agencies); – and/or set policy priorities (i.e. strategy development, policy guidelines); – and/or joint policy planning (e.g. joint cross-ministry preparation of budgetary allocations)? <p>b) What is the name of the main research and/or innovation Council/Committee? Are there any other research Councils/Committees?</p> <p>c) Are there any other research Councils/Committees?</p> <p><i>References:</i> Government Office of the Republic of Estonia (2016), "The Research and Development Council", https://riigikantslei.ee/en/research-and-development-council (accessed on 14 October 2016).</p>	<p>a and b) The Research and Development Council advises the government on matters relating to the national research and development strategy.</p> <p>c) There are no other research and innovation councils in place.</p>
<p>Q.2.2. With reference to Q.2.1, does the Council's mandate explicitly include a) policy coordination; b) preparation of strategic priorities; c) decision-making on budgetary allocations; d) evaluation of policies' implementation (including their enforcement); e) and provision of policy advice?</p>	<p>a - e) The mandate of the Council includes strategic priority setting (i.e. development of national STI strategies) and policy advice, including advise on the state budget for research and development, the amounts prescribed by the different ministries and types of financing (e.g. programmes); and advise on the procedures for the evaluation of research and development in HEIs, PRIs, and firms.</p>
<p>Q.2.3. With reference to Q.2.1, who formally participates in the Council? a) Head of State, b) ministers, c) government officials (civil servants and other representatives of ministries, agencies and implementing bodies), d) funding agency representatives, e) local and regional government representatives, f) HEI representatives, g) PRI representatives, h) private sector, i) civil society, and/or j) foreign experts</p>	<p>a – j) The Research and Development Council has twelve members including the head of state (Prime Minister), ministers (the Minister of Education and Research and the Minister of Economic Affairs and Communications), and government officials (one member of the government appointed by the Prime Minister and eight members appointed by the government). The Council also includes representatives from HEIs (Rector of the University of Tartu Volli Kalm), the Academy of Science and the private sector (Toomas Luman of the company Nordecon, Oliver Väärtnõu of the company Cybernetica).</p>
<p>Q.2.4. With reference to Q.2.1.b., does the Council have its own a) staff and/or its own b) budget? If so, please indicate the number of staff and the amount of annual budget available.</p> <p>c) From 2005-16, were any reforms made to the mandate of the Council, its functions, the composition of the Council, the budget and/or the Council's secretariat? Was the Council created during the time period?</p>	<p>a and b) The Council does not have its own staff and budget.</p> <p>The Organisation of Research and Development Act (ORDA) states that administrative support to the Research and Development Council is provided by the Government Office. The Council is supported in its work by two permanent government committees, one focusing on research and development policy and the other on innovation policy.</p> <p>c) No major reforms made.</p>
<p><i>References:</i> Organisation of Research and Development Act, article 11.5, www.rigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016)</p>	

Table 3. Questions on national STI strategies

Question	Response
<p>Q.2.5. a) Is there a national non-sectoral STI strategy or plan?</p> <p>b) What is the name of the main national STI strategy or plan?</p> <p><i>References:</i> Ministry of Education and Research (2014), "Estonian Research and Development and Innovation Strategy 2014-2020", www.hm.ee/sites/default/files/estonian_rdi_strategy_2014-2020.pdf (accessed on 18 October 2016).</p>	<p>a and b) The Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia" which was approved by the government of Estonia on 31 October 2013 and by the Riigikogu (parliament) on 22 January 2014.</p>
<p>Q.2.6. Does the national STI strategy or plan address any of the following priorities?</p> <p>a) Specific themes and/or societal challenges (e.g. Industry 4.0; "green innovation"; health; environment; demographic change and wellbeing; efficient energy; climate action) - Which of the following themes and/or societal challenges are addressed?</p> <ul style="list-style-type: none"> – Demographic change (i.e. ageing populations, etc.) – Digital economy (e.g. big data, digitalisation, industry 4.0) – Green economy (e.g. natural reReferences, energy, environment, climate change) – Health (e.g. Bioeconomy, life science) – Mobility (e.g. transport, smart integrated transport systems, e-mobility) – Smart cities (e.g. sustainable urban systems urban development) <p>b) Specific scientific disciplines and technologies (e.g. ICT; nanotechnologies; biotechnology) - Which of the following scientific research, technologies and economic fields are addressed?</p> <ul style="list-style-type: none"> – Agriculture and agricultural technologies – Energy and energy technologies (e.g. energy storage, environmental technologies) – Health and life sciences (e.g. biotechnology, medical technologies) – ICT (e.g. artificial intelligence, digital platforms, data privacy) – Nanotechnology and advanced manufacturing (e.g. robotics, autonomous systems) <p>c) Specific regions (e.g. smart specialisation strategies)</p> <p>d) Supranational or transnational objectives set by transnational institutions (for instance related to European Horizon 2020)</p> <p>e) Quantitative targets for monitoring and evaluation (e.g. setting as targets a certain level of R&D spending for public research etc.)</p> <p>f) From 2005-16, was any STI strategy introduced or were any changes made existing STI strategies?</p>	<p>a and b) The national STI strategy "Knowledge Based Estonia" identifies three specific fields of technology and societal challenges:</p> <ul style="list-style-type: none"> – More effective use of reReferences (no order of preference): Materials science and industry, innovative construction ("smart house"), health-supporting food, chemical industry (more effective use of shale gas) – Information and communication technology (ICT), across sectors (no order of preference): Use of ICT in industry (including automatisisation and robotics), cybersecurity, software development – Health technologies and services (no order of preference): Biotechnology, e-health (use of IT for the development of medical services and products) <p>c) The Estonian Research and Development and Innovation Strategy 2014-2020 does not include objectives for specific regions.</p> <p>d) Beyond the main STI strategy, Estonia has prepared the National Reform Programme "Estonia 2020" which addresses the European Union "Horizon 2020" objectives.</p> <p>e) The Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia" includes the following quantitative targets for monitoring (no order of preference):</p> <ul style="list-style-type: none"> – Increase R&D expenditure to 3% of GDP by 2020 (including business expenditure of 2% of GDP); – Get from the 14th (2011) to the 10th position (minimum) in the EU Innovation Union Scoreboard; – Increase labour productivity per person employed from 68% of the EU average (2011) to 80% of the EU average; <p>f) The main strategies introduced between 2005 and 2016 are the following:</p> <ul style="list-style-type: none"> – Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia" (approved by the parliament in 2014); – National Reform Programme "Estonia 2020" (introduced in 2011 with a second action plan introduced for 2015-2020); – RD and Innovation Strategy for the Estonian Health System 2015– 2020 "Research and Innovation for Health"; – Estonian Entrepreneurship Growth Strategy 2014-2020; – Estonian Research Infrastructure Roadmap 2010; – Estonian Research Infrastructure Roadmap 2014; – Estonian Lifelong Learning Strategy; – Estonian Higher Education Strategy 2006-2015.

References:

- EC/OECD STI Policy Survey 2016 for Estonia. Response A2.
 Government Office of the Republic of Estonia, "National Reform Programme "Estonia 2020" (2016), <https://riigikantselei.ee/en/supporting-government/national-reform-programme-estonia-2020> (accessed on 20 October 2016).
 Government of Estonia (2011), National Reform Programme "ESTONIA 2020" http://ec.europa.eu/europe2020/pdf/nrp/nrp_estonia_en.pdf (accessed on 20 October 2015).
 Government of Estonia (N.D.), Estonian Higher Education Strategy, 2006–2015, <http://planipolis.iiep.unesco.org/upload/Estonia/Estonia-Higher-Education-Strategy-2006-2015.pdf> (accessed on 25 October 2016).
 Ministry of Economic Affairs and Communication (2016), "Entrepreneurship and Innovation", <https://mkm.ee/en/objectives-activities/economic-development/entrepreneurship-and-innovation> (accessed on 20 October 2016).
 Ministry of Economic Affairs and Communication (2013), "Estonian Entrepreneurship Growth Strategy 2014-2020", <http://kasvustrateegia.mkm.ee/pdf/Estonian%20Entrepreneurship%20Growth%20Strategy%202014-2020.pdf> (accessed on 20 October 2016).
 Ministry of Education and Research (2014), "Estonian Research and Development and Innovation Strategy 2014-2020", www.hm.ee/sites/default/files/estonian_rdi_strategy_2014-2020.pdf (accessed on 18 October 2016).
 Ministry of Education and Research (2016), "Estonian Lifelong Learning Strategy 2020", www.hm.ee/en/estonian-lifelong-learning-strategy-2020 (accessed 17 October 2016).

Q.2.7. What reforms to policy co-ordination regarding STI strategies and plans have had particular impact on public research policy? Missing answer

Table 4. Questions on inter-agency programming and role of agencies

Question	Response
<p>Q.2.8. Does inter-agency joint programming contribute to the co-ordination of HEI and PRI policy?</p> <p><i>(Inter-agency joint programming refers to formal arrangements that result in joint action by implementing agencies, such as e.g. sectoral funding programmes or other joint policy instrument initiatives between funding agencies.)</i></p>	a) Missing answer.
<p>Q.2.9. a) Is co-ordination within the mandate of agencies?</p> <p>b) From 2005-16, were any changes made to the mandates of agencies tasked with regards to inter-agency programming? Were new agencies created with the task to coordinate programming during the time period?</p>	<p>a) Missing answer.</p> <p>b) Missing answer.</p>
<p>Q.2.10. What reforms of the institutional context have had impacts on public research policy?</p>	c) Missing answer.

Topic 3: Stakeholders consultation and institutional autonomy

Table 5. Questions on stakeholder consultation

Question	Response
<p>Q.3.1. a) Do the following stakeholders participate as formal members in Research and Innovation Councils? (i.e. Formal membership as provided by statutes of Council)</p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) – HEIs/PRI and/or their associations <p>b) Do stakeholders participate as formal members in council/governing boards of HEIs? (i.e. Formal membership as provided by statutes of Council)</p> <ul style="list-style-type: none"> – Private Sector – Civil society (citizens/ NGOs/ foundations) 	<p>a) The Research and Development Council currently includes representatives from HEIs (e.g. Rector of the University of Tartu Volli Kalm), the Estonian Academy of Science and the private sector (e.g. Toomas Luman of the company Nordecon, Oliver Väärtnõu of the company Cybernetica).</p> <p>b) HEIs set the composition of their governing board/council in their statutes. There is therefore no unified model across the country. The Universities Act states that the council of a University must be composed of a Rector, Vice Rector, representatives of the teaching and research staff, representatives of the students (one fifth of the council or more and "other persons prescribed by the statutes". Similarly, there is no national binding requirement for the inclusion of stakeholders in the governing council of PRIs.</p>
<p><i>References:</i> Government Office of the Republic of Estonia (2016), "The Research and Development Council", https://riigikantselei.ee/en/research-and-development-council (accessed on 14 October 2016). Organisation of Research and Development Act, article 6, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016) Universities Act, article 14, www.riigiteataja.ee/en/eli/521032014002/consolide/current (accessed on 23 October 2016).</p>	
<p>Q.3.2. a) Are there online consultation platforms in place to request inputs regarding HEI and PRI policy? b) Which aspects do these online platforms address (e.g. e.g. open data, open science)?</p> <p>c) From 2005-16, were any reforms made to widen inclusion of stakeholders and/or to improve consultations, including online platforms?</p>	<p>a and b) Missing answer.</p> <p>c) Stakeholders were consulted in the preparation of the national STI strategy (Estonian Research and Development and Innovation Strategy 2014-2020 "Knowledge-based Estonia") in 2012. The Strategy Preparation Committee was formed by the MoER. It included 23 representatives from the private sector, universities, research institutions, and state authorities. Additionally, over 200 specialists from the research, business and state sectors were included in the preparation of the strategy.</p>
<p><i>References:</i> Ministry of Education and Research (2014), "Estonian Research and Development and Innovation Strategy 2014-2020", p. 2. www.hm.ee/sites/default/files/estonian_rdi_strategy_2014-2020.pdf (accessed on 18 October 2016).</p>	
<p>Q.3.3. Which reforms to consultation processes have proven particularly important?</p>	<p>No major reforms made.</p>

Table 6. Questions on autonomy of universities and PRIs

Question	Response
<p>Q.3.4. Who decides about allocations of institutional block funding for teaching, research and innovation activities at a) HEIs and b) PRIs?</p> <p><i>(National/regional level: If HEIs face national constraints on using block funds, i.e. funds cannot be moved between categories such as teaching, research, infrastructure, operational costs, etc. This option also applies if the ministry pre-allocates budgets for universities to cost items, and HEIs are unable to distribute their funds between these.</i></p> <p><i>Institutions themselves: If HEIs are entirely free to use their block grants.)</i></p> <p>References:</p> <p>Data on institutional autonomy is based on a survey conducted by the European University Association between 2010 and 2011 across 26 European countries. The answers were provided by Secretaries General of national rectors' conferences and can be found in the report by the European University Association (Estermann et al., 2015).</p> <p>Estermann, T., Nokkala, T., and Steinel, M. (2015). University Autonomy in Europe II The Scorecard. Brussels: European University Association. Retrieved from http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2, accessed 19.09.2016.</p> <p>European University Association (2016). University Autonomy in Europe (Webpage). Retrieved from http://www.university-autonomy.eu/, accessed 19.09.2016.</p> <p>Organisation of Research and Development Act, article 15, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016).</p>	<p>a and b) Universities and PRIs face do not face national restrictions on the internal allocation of block funding.</p>
<p>Q.3.5. Who decides about recruitment of academic staff at a) HEIs and b) PRIs?</p> <p><i>(National/regional level: If recruitment needs to be confirmed by an external national/regional authority; if the number of posts is regulated by an external authority; or if candidates require prior accreditation. This option also applies if there are national/regional laws or guidelines regarding the selection procedure or basic qualifications for senior academic staff.</i></p> <p><i>Institutions themselves: If HEIs are free to hire academic staff. This option also applies to cases where laws or guidelines require the institutions to publish open positions or the composition of the selection committees which are not a constraint on the hiring decision itself.)</i></p> <p>Who decides about salaries of academic staff at c) HEIs and d) PRIs?</p> <p><i>(National/regional level: If salary bands are negotiated with other parties, if national civil servant or public sector status/law applies; or if external authority sets salary bands.</i></p> <p><i>Institutions themselves: If HEIs are free to set salaries, except minimum wage.)</i></p> <p>Who decides about reassignments and promotions of academic staff at e) HEIs and f) PRIs?</p> <p><i>(National/regional level: If promotions are only possible in case of an open post at a higher level; if a promotion committee whose composition is regulated by law has to approve the promotion; if there are requirements on minimum years of service in academia; if automatic promotions apply after certain years in office, or if there are promotion quotas.</i></p> <p><i>Institutions themselves: If HEIs can promote and reassign staff freely.)</i></p>	<p>a – f) Universities are free to recruit academic staff in accordance with some guidelines regarding selection of academic staff included in quality agreements signed by the university. Universities set salaries of academic staff themselves and can dismiss staff. They promote their staff freely based on merit. PRIs are also free to recruit their academic staff. The terms of the procedure are set by the research institution's council or corresponding body.</p>

References:

Estermann, T., Nokkala, T., and Steinel, M. (2015). University Autonomy in Europe II The Scorecard. Brussels: European University Association. Retrieved from http://www.eua.be/Libraries/publications/University_Autonomy_in_Europe_II_-_The_Scorecard.pdf?sfvrsn=2, accessed 19.09.2016.

European University Association (2016). University Autonomy in Europe (Webpage). Retrieved from <http://www.university-autonomy.eu/>, accessed 19.09.2016.

Organisation of Research and Development Act, article 15, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016).

Q.3.6. Who decides about the **creation of academic departments** (such as research centres in specific fields) and functional units (e.g. **technology transfer offices**) at a) HEIs and b) PRIs?

(National/regional level: If there are national guidelines or laws on the competencies, names, or governing bodies of internal structures, such as departments or if prior accreditation is required for the opening, closure, restructuring of departments, faculties, technology offices, etc.

Institutions themselves: If HEIs are free to determine internal structures, including the opening, closure, restructuring of departments, faculties, technology offices, etc.)

Who decides about the creation of legal entities (e.g. **spin-offs**) and **industry partnerships** at c) HEIs and d) PRIs?

(National/regional level: If there are restrictions on legal entities, including opening, closure, and restructuring thereof; if restrictions apply on profit and scope of activity of non-profit organisations, for-profit spin-offs, joint R&D, etc.

Institutions themselves: If HEIs are free to create non-profit organisations, for-profit spin-offs, joint R&D, etc.)

References:

Estermann, T., T. Nokkala, and M. Steinel (2011), University Autonomy in Europe II The Scorecard, European University Association, p.24.

Organisation of Research and Development Act, article 5, www.riigiteataja.ee/en/eli/513042015012/consolide (accessed on 14 October 2016).

Q.3.7. Who earns what **share of revenues** stemming from IP (patents, trademarks, design rights, etc.) created from publicly funded research at a) HEIs and b) PRIs?

- HEI
- Research unit / laboratory within HEI
- Researchers

a) HEIs set revenue schemes themselves. The regulations are set by the universities but in general, the economic rights are transferred to the employer (the institution) while the researcher receives a compensation.

b) Missing answer.

c) From 2005-16, were any reforms introduced that affected the institutional autonomy of HEIs and PRIs?

c) No major reforms made.

References:

Euraxess Estonia (2013), Intellectual property rights, <http://euraxess.ee/grants-fellowships/research-landscape/intellectual-property-rights/> (accessed on 24 October 2016).

Q.3.8. Which **reforms** to institutional autonomy have been important to enhance the impacts of public research?

No major reforms made.